

DALLAS ROBERT H II  
Form 4  
January 12, 2018

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
DALLAS ROBERT H II

2. Issuer Name and Ticker or Trading Symbol  
UNITY BANCORP INC /NJ/  
[UNTY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
01/10/2018

Director  10% Owner  
 Officer (give title below)  Other (specify below)

C/O UNITY BANCORP INC, 64  
OLD HIGHWAY 22

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

CLINTON, NJ 08809

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |  |
| Restricted Stock                |                                      |  |                                |   | 3,641 <sup>(1)</sup>  | D  |  |
| Common Stock                    | 01/10/2018                           |  | M                              |   | 2,933 A \$ 10.97  | D  |  |
| Common Stock                    | 01/10/2018                           |  | M                              |   | 500 A \$ 15.7   | D  |  |
| Common Stock                    |                                      |  |                                |   | 1,706,942 <sup>(3)</sup>  | I  | Dallas Financial Holdings, LLC             |

Edgar Filing: DALLAS ROBERT H II - Form 4

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Stock Options                              | \$ 10.97   | 01/10/2018                           |  | M                              | 2,933<br>(4)  | 01/05/2017 <sup>(5)</sup> 01/05/2026 <sup>(5)</sup>      | Common Stock  | 2,933                      |
| Stock Options                              | \$ 15.7  | 01/10/2018                           |  | M                              | 500<br>(4)  | 01/03/2018 <sup>(7)</sup> 01/03/2027                     | Common Stock  | 500                        |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| DALLAS ROBERT H II<br>C/O UNITY BANCORP INC<br>64 OLD HIGHWAY 22<br>CLINTON, NJ 08809 | X             | X         |         |       |

## Signatures

Robert H. Dallas, II, poa Laurie Cook,  
Controller/SVP

01/12/2018

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) 3,190 restricted stock shares are currently held in an account at Computershare, which have upcoming vesting dates; 451 shares are dividend reinvested shares for a total of 3,641.
- (2) 14,898 shares are held in Mr. Dallas' name in an account at Computershare.

## Edgar Filing: DALLAS ROBERT H II - Form 4

- (3) 171,632 shares are held in an account at Computershare; 1,535,310 shares are held in a brokerage account.
- (4) Mr. Dallas exercised 2,933 stock options at \$10.97 per share, and 500 stock options at \$15.70 per share.
- (5) 4,400 stock options were granted on 1/5/2016, which vest one-third per year at \$10.97 per share and expire on 1/5/2016.
- (6) A total of 5,667 stock options were granted under various dates and vesting periods of which none are currently exercisable.
- (7) 1,500 stock options were granted on 1/3/2017, which vest one-third per year at \$15.70 per share and expire on 1/3/2027.

### **Remarks:**

Total Beneficial Ownership: 1,725,481

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.